

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Richard E. Smalley, Deceased, et al.
Serial No: 10/575,352
International App'l No: PCT/US2004/34002
Int'l Filing Date: October 14, 2005
Group Art Unit: Unknown
Confirmation No: 9439
Title: Amplification of Carbon Nanotubes Via Seeded-Growth Methods

Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

RENEWED SUBMISSION UNDER 37 CFR 1.42

In response to the Decision on Papers Under 37 CFR 1.42 with the mail date of June 11, 2007, with two-months to provide a response ending on August 11, 2007, Applicant encloses the following documents:

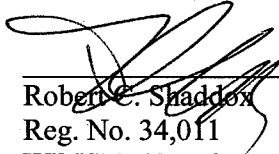
1. Declaration in compliance under 37 CFR 1.497(a)-(b) executed by Irene M. Marek, legal representative of deceased inventor Richard B. Smalley;
2. Supplemental Declaration Under 37 CFR 1.42 executed by Irene M. Marek;
and
3. A copy of the Decision on Papers Under 37 CFR 1.42;

Applicant does not believe there are any fees due at this time; however, if there any fees required, Commissioner is hereby authorized to charge any fees relating to this filing to the Winstead Sechrest & Minick P.C. Deposit Account No. 23-2426. Any questions regarding this filing should be directed to the attorney below.

Dated:

Respectfully submitted,

8/13/07


Robert C. Shaddon
Reg. No. 34,011
WINSTEAD PC
P.O. Box 50784
Dallas, TX 75201
Tel (713) 650-2764
Fax (214) 745-5390

ATTORNEY FOR APPLICANTS

CERTIFICATE OF TRANSMISSION OR MAILING UNDER 37 C.F.R. § 1.10

I hereby certify that the attached *Response to Notice Notification of Missing Requirements* is being filed electronically with the United States Patent and Trademark Office via EFS-Web on the date below:

August 13, 2007
Date


Signature



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents
United States Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450
www.uspto.gov

11 JUN 2007

RECEIVED ON

JUN 15 2007

Ross Spencer Garsson
Winstead Sechrest & Minick P.C.
P.O. Box 50784
Dallas, Texas 75201

BY WINSTEAD

DOCKETED ON

JUN 18 2007

By: MT

In re Application of
SMALLEY et al.
Application No.: 10/575,352
PCT No.: PCT/US04/34002
Int. Filing Date: 14 October 2004
Priority Date: 14 October 2003
Attorney Docket No.: 11321P077WOUS
For: AMPLIFICATION OF CARBON
NANOTUBES VIA SEEDED-GROWTH
METHODS

DECISION ON
PAPERS UNDER 37 CFR 1.42

This decision is issued in response to the declaration filed 19 April 2007 which is being treated as a request under 37 CFR 1.42. No petition fee is required.

BACKGROUND

On 14 October 2004, applicants filed the above-identified international application which claimed a priority date of 14 October 2003. Pursuant to 37 CFR 1.495, the deadline for payment of the basic national fee was to expire 30 months from the priority date, 14 April 2006.

On 11 April 2006, applicants filed a transmittal letter for entry into the national stage in the United States accompanied, inter alia, by: the basic national fee; a copy of the international application; and a preliminary amendment.

On 19 April 2007, applicants filed a declaration executed by twelve of the thirteen inventors and Irene M. Marek, on behalf of deceased inventor, Richard E. Smalley.

DISCUSSION

37 CFR 1.42 *When the Inventor is Dead*, states, in part:

In case of the death of the inventor, the legal representative (executor, administrator, etc.) of the deceased inventor may make the necessary oath or declaration, and apply for and obtain the patent.

The declaration filed on 19 April 2007 is executed by twelve of the thirteen inventors and Irene M. Marek as the "legal representative" of the deceased inventor, Richard E. Smalley. The declaration submitted appears to have been executed by the proper party under 37 CFR 1.42, however, the declaration does not satisfy the requirements under 37 CFR 1.497(b)(2).

37 CFR 1.497(b)(2) states the following:

(2) If the person making the oath or declaration or any supplemental oath or declaration is not the inventor (§§ 1.42, 1.43, or § 1.47) the oath or declaration shall state the relationship of the person to the inventor, and, upon information and belief, the facts which the inventor would have been required to state. If the person signing is the legal representative of a deceased inventor, the oath or declaration shall also state that the person is a legal representative and the citizenship, residence, and mailing address of the legal representative.

Pursuant to 37 CFR 1.497(b)(2), in addition to the citizenship and former residence and post office address of the deceased inventor referenced under 37 CFR 1.497(a)(3) and 37 CFR 1.63, the declaration must also provide name, residence, citizenship, and post office address for the legal representative. In this case, the declaration filed on 19 April 2007 provides the residence, citizenship, and post office address for only one individual and it is unclear whether this information is for the legal representative or the deceased inventor. Accordingly, the declaration is not in compliance with 37 CFR 1.497(b)(2).

Additionally, the declaration is not in compliance with 37 CFR 1.497 (a)-(b) in that it gives the impression that Irene M. Marek is the first or sole inventor for the present application. A compliant declaration under 37 CFR 1.497(a)-(b) would identify the inventors as they appear in the published International Application. In order to proceed under 37 CFR 1.42, applicant must provide a declaration that: (1) properly identifies the inventors; (2) sets forth the residence, post office address and country of citizenship for both the deceased co-inventor, Richard E. Smalley and the legal representative, Irene M. Marek; and (3) states the relationship (i.e. legal representative or sole heirs) of Irene M. Marek to the deceased inventor.

CONCLUSION

For the above reasons, the request for status under 37 CFR 1.42 is **REFUSED**.

Applicants are required to provide an oath/declaration in compliance with 37 CFR 1.497(a)-(b) within **TWO (2) MONTHS** from the mail date of this Decision. Failure to respond will result in the abandonment of the application. Any reconsideration request should include a cover letter entitled "Renewed Submission Under 37 CFR 1.42" and must include an acceptable declaration under 37 CFR 1.497 which has been executed by the

either the legal representative of the deceased inventor or, if no legal representative has been appointed, all of the heirs of the deceased inventor.

Any further correspondence with respect to this matter should be addressed to:
Mail Stop PCT, Commissioner for Patents, Office of PCT Legal Administration, P.O. Box
1450, Alexandria, Virginia 22313-1450, with the contents of the letter marked to the
attention of the Office of PCT Legal Administration.



Anthony Smith
Attorney-Advisor
Office of PCT Legal Administration
Tel: (571) 272-3298
Fax: (571) 273-0459